IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Thomas J. Daley, et al.

Serial No.:

10/767,588

Filing Date:

January 29, 2004

Art Unit:

3624

Confirmation No.:

6169

Examiner:

Unknown

Title:

SYSTEM AND METHOD FOR ROUTING A TRADING ORDER ACCORDING TO PRICE

Mail Stop Amendment

Commissioner of Patents PO Box 1450 Alexandria, VA 22313-1450

Dear Sir:

INFORMATION DISCLOSURE STATEMENT

Applicants respectfully request, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the references listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified patent application. The present application was filed after June 30, 2003. Therefore, under the July 11, 2003 waiver of 37 C.F.R. § 1.98(a)(2)(i) by the U.S. Patent and Trademark Office, the copy of the US Patent Application Publication listed in the attached PTO-1449 form is not enclosed. A copy of the non-patent document is enclosed for the convenience of the Examiner. No representation is made that a search has been made, that these references are material to patentability, or that these references qualify as prior art.

The items contained in this Information Disclosure Statement were cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this Information Disclosure Statement.

REMARKS

Pursuant to 37 C.F.R. § 1.97(b), Applicants believe this Information Disclosure Statement has been filed before the **issuance/mailing** date of the first Office Action. Therefore, Applicants believe no fee is due. However, if a fee is required, the Commissioner is hereby authorized to charge any fees or credit any overpayments to Deposit Account No. 02-0384 of Baker Botts L.L.P.

Respectfully submitted,

Baker Botts L.L.P. Attorneys for Applicants

Samir A. Bhavsar Reg. No. 41,617

Date: January 11, 2007

Correspondence Address:

Customer No. 05073

D'	TO 1/	1/10		Application No.		Page 1 of 1 Applicant(s)			
PTO-1449 Information Disclosure Citation In an Application				10/767,588		Thomas J. Daley, et al.			
				Docket Number 069547.0173			Filing Date January 29, 2004		
			U	S. PATENT DOCUM	1ENTS		-	,	
		DOCUMENT NO.	DATE	NAME	CLASS	SUBCLAS	s FILIN	G DATE	
	A	2001/0051909 A1	12/13/2001	Keith	705	37	03/0	8/2001	
	В								
	С								
	D								
_	E				-			,	
	F								
	G								
	Н								
	I								
_	J								
			FOR	EIGN PATENT DOC	CUMENTS				
		DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLAS	S TRANS	TRANSLATION	
	177	20001122111101					YES	NO	
	K								
	L								
	M								
	N_								
	0								

	DOCUMENT (Including Author, Title, Source, and Pertinent Pages)	DATE
P	Notification of Transmittal of the International Search Report and the Written Opinion of the International Searching Authority, or the Declaration for International Application No. PCT/US05/03163; 9 pages.	01/04/2007
Q		
R		
232 A B 4T	DATE CONSIDERED	

EXAMINER DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

U.S. PATENT AND TRADEMARK OFFICE